

# **Nebraska Office of Highway Safety**

## **Grant Contract Proposal Application Guide and Policies and Procedures**

Nebraska Office of Highway Safety  
P.O. Box 94612  
Lincoln NE 68509  
402-471-2515  
402-471-3865 FAX  
[www.roads.nebraska.gov/nohs](http://www.roads.nebraska.gov/nohs)

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# POLICIES AND PROCEDURES

## Introduction

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The Nebraska Office of Highway Safety (NOHS), a division within the Nebraska Department of Roads, is responsible for the administration and distribution of the State's federal section 402 Highway Safety Funds and other authorized federal highway safety funds. Congress appropriates these funds annually.

These funds are utilized to reduce Nebraska's fatal and serious injury crash rates. Statewide problem identification analysis reveals a wide variety of highway safety problems ranging from human factors to roadway environment. The funding supports projects and activities that contribute to the reduction of traffic crashes resulting in fewer deaths and injuries.

Funding is provided to assist with the implementation of projects, which will address specifically identified traffic-related problems. Specific emphasis areas include alcohol, speed, occupant protection, and youth. **Only political subdivisions and 501c3 non-profit organizations are eligible for funding assistance.**

Project funding assistance may be considered for up to three consecutive years (reapplied for annually). Funding assistance from the NOHS is used as "start up" or "seed money" to implement a project. Upon conclusion of the NOHS funding, it is expected that successful projects will continue.

The NOHS typically provides first year funding assistance to projects at 90% or 100% of the grant contract costs. If the project effectively impacts the identified traffic problems, second year funding may be considered at 75%. If the project continues to demonstrate impact, funding may be considered for a third year at 50% of the first year's cost. The NOHS reserves the right to determine appropriate hard match contributions. The applicant/organization must provide the balance of funding.

When an applicant/organization is awarded highway safety funding, they must abide by all federal requirements which includes all applicable federal statutes, regulations, executive orders, National Highway Traffic Safety Administration (NHTSA) guidelines, Office of Management and Budget (OMB) Circulars and other federal requirements as referenced in the **NHTSA Highway Safety Grant Management Manual**. This manual and all associated federal regulations are available on the website at:

[http://www.nhtsa.gov/nhtsa/whatsup/TEA21/GrantMan/HTML/00\\_Manl\\_Contentsl\\_01.html](http://www.nhtsa.gov/nhtsa/whatsup/TEA21/GrantMan/HTML/00_Manl_Contentsl_01.html).

The following are the "Policies and Procedures" of the NOHS that are incorporated into each approved grant and/or mini-grant contract. All contractors **must** comply with these "Policies and Procedures" in addition to appropriate state and federal rules and regulations. This guide is located on the NOHS website at [www.roads.nebraska.gov/nohs/pdf/Policies](http://www.roads.nebraska.gov/nohs/pdf/Policies).

## **ACCOUNTING RECORDS**

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All grants are required to maintain records that identify the source (federal, state, or local) and application of funds for each line item approved in the project's application. Project directors must provide all supporting documentation for each of the expenditures listed on all submitted 'Claim for Reimbursement' forms. Source documentation may include copies of invoices, timesheets, and computer-generated reports. The NOHS program manager may request to see all documentation during an on-site visit and/or may require additional documentation.

Accurate time records must be maintained whenever employee salaries are claimed as reimbursable expenses. These time records, as well as documentation of the amounts paid, must be available for audit and filed with your grant claim.

## **AUDIT REQUIREMENTS**

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According to the Office of Management and Budget (OMB) Circular A-133, contractors that receive \$500,000 or more in a year of federal grant funds from any and all sources must provide a copy of their Single Audit or OMB A-133 Audit to NOHS for any fiscal year that NOHS funds were received. The audit must be received by July 31<sup>st</sup> of the following calendar year. In addition, all grant contractors are subject to a financial and compliance audit by state and/or federal auditors. All documents associated with the grant project must be made available at any time for inspection by the NOHS or their designated representatives.

The NOHS requires all contractors to complete and maintain detailed accounting records as they apply to the project. These records must be maintained for a period of three (3) years or until any audits are completed. All projects are subject to audit by the appropriate state and/or federal agencies. The audit will generally ensure that all costs are properly documented using acceptable accounting techniques and that the provisions of OMB Circular A-87 and A-133 are adhered to.

Each approved project application will show the appropriate Catalog of Federal Domestic Assistance (CFDA) number to call attention to the need for inclusion in a Single Audit by the contractor. The complete set of the NOHS CFDA numbers as administered by NHTSA are listed below:

Section 402 – 20.600	Section 1906 - 20.611
Section 410 – 20.601	Section 2010 - 20.612
Section 405 – 20.602	HSIP 20.205
Section 408 – 20.610	OJJDP 16.727

The Office of Management and Budget (OMB) circulars which outline cost principals and audit requirements are listed below:

### **OMB Circular A-21 Cost Principles for Educational Institutions**

Relocated to 2 CFR, Part 220

[http://www.whitehouse.gov/omb/fedreg/2005/083105\\_a21.pdf](http://www.whitehouse.gov/omb/fedreg/2005/083105_a21.pdf) (2CFR, Part 220) (8/31/2005)

**OMB Circular A-87 Cost Principles for State, Local and Indian Tribal Governments** (07/24/2007)  
Relocated to 2 CFR, Part 225  
[http://www.whitehouse.gov/omb/fedreg/2005/083105\\_a87.pdf](http://www.whitehouse.gov/omb/fedreg/2005/083105_a87.pdf) (2 CFR, Part 225)

**OMB Circular A-102 Grants and Cooperative Agreements with State and Local Governments**  
<http://www.whitehouse.gov/omb/circulars/a102/a102.html> (10/1/2005)

**OMB Circular A-110 Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations**  
Relocated to 2 CFR, Part 215 (1/1/2006)  
<http://www.whitehouse.gov/omb/circulars/a110/2cfr215-0.pdf> (2 CFR, Part 215)

**OMB Circular A-122 Cost Principles for Non-Profit Organizations**  
Relocated to 2 CFR, Part 230 (7/24/2007)  
[http://www.whitehouse.gov/omb/fedreg/2005/083105\\_a122.pdf](http://www.whitehouse.gov/omb/fedreg/2005/083105_a122.pdf) (2 CFR, Part 230)

**OMB Circular A-133 Audits of States, Local Governments, and Non-Profit Organizations**  
<http://www.whitehouse.gov/omb/circulars/a133/a133.html> (6/27/2003)

<u>Contractor</u>	<u>Administrative</u>	<u>Cost Principles</u>	<u>Audit</u>
Nonprofit Organization	2 CFR, Part 215	2 CFR, Part 230	Circular A-133
College/University	2 CFR, Part 215	2 CFR, Part 220	Circular A-133
State, Local or Tribal Government	Circular A-102	2 CFR, Part 225	Circular A-133

#### **AUDIT REPORTS**

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In the event the project is audited by the state or local government, a copy of the audit report should be included in the project file and a copy should be sent to the NOHS office for review.

#### **BUDGET**

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The budget proposal for the project is an estimate, but should specifically describe any cost expenditure. Estimated costs for a project proposal may be categorized according to four cost categories:

Personal Services	Salaries, benefits, overtime, training and project-related travel expenses.
Contractual Services	Individual consultants, or firms performing services, special studies, or gathering data pertaining to the project.
Commodities	Materials acquired and consumed specifically for the purpose of the grant contract: telephone added as part of the project, printing, postage, videotapes, and office supplies specific to the project.
Other Direct Costs	Rent and special equipment added as part of the project.

#### **COMPETITIVE BIDS**

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All equipment, services, and/or commodities purchased under the grant contract that have unit values in excess of \$500.00 or multiple identical units of equipment and/or commodities procured having a total accumulated value in excess of \$500.00 must be acquired only as a direct result of competitive bids. A minimum of three (3) documented bids are required unless purchased from a State contract. Copies of all competitive bids must be submitted to the NOHS for examination and final approval. Selection of the vendor will be made on an overall economic basis, including but

not limited to, the lowest bid. Permission to accept other than the lowest bid must be expressly approved in writing by the NOHS prior to acceptance/purchase.

## **COMPLIANCE**

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In addition to the policies listed in this guide and in the grant contract document, the grant contractor will comply with all applicable federal and state laws, rules, and regulations.

## **CONFLICT OF INTEREST**

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No person performing services for the grant contract shall have a financial or other personal interest in any contractor or subcontractor involved in the project other than their employment or retention by the grant contract.

## **CONTRACT REVISIONS**

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Grant contract proposals may be amended prior to or after signing. The amendments are not binding unless they are in writing and signed by persons authorized to bind each of the parties. The signature of the NOHS Administrator is necessary to authorize the revision. If additional tasks or costs are authorized in the revision, the contractor must not begin work on the additional tasks or incur the additional costs until the revisions are fully executed. Retroactive approval of revisions will not be granted; costs incurred in such situations will not be reimbursed. A revision cannot be used to authorize new or different activities not related to the scope of the grant being revised. Revised contracts require revised budget proposals which must be provided to NOHS with the contract revisions.

## **COST ASSUMPTION**

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The formal cost assumption plan is a detailed description of how the grant contractor plans to continue the project after the NOHS grant funding assistance concludes. Continuation of the project activity may be accomplished with other funding and/or additional agencies' efforts. The cost assumption plan must be in place prior to receiving any funds.

## **DRIVING POLICY**

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The policy of the NOHS is to ensure that vehicles are driven legally, safely, and defensively. Contractors and their staff are to carry a valid vehicle operator's license, the required liability insurance, maintain good driving records, and utilize safety belts.

## **DRUG-FREE WORKPLACE POLICY**

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All grant contractors and/or their agents are required to have an approved drug-free workplace policy in effect for all employees. An official copy of this policy must be provided with the grant contract proposal. The State of Nebraska is committed to providing an employment environment that is drug-free.

## **EQUAL EMPLOYMENT OPPORTUNITY (EEO)**

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Grant contract recipients and/or their agents will not discriminate against any employee or applicant for employment because of race, religion, sex, age, color, national origin, or mental/physical disability. The grant contractor will take affirmative action to ensure that applicants and employees are treated equally without regard to their race, religion, sex, age, color, national origin, or mental/physical disability. The grant contractor and/or their agents shall not discriminate

against any person based on race, religion, sex, age, color, national origin, or mental/physical disability in the use of any property or facility required or developed pursuant to a highway safety contract. The grant contractor and/or their agents shall comply with Title VI and Title VII of the Civil Rights Act of 1964 as amended and all applicable requirements pursuant to regulations of the U.S. Department of Transportation.

#### **EQUIPMENT PURCHASE (also refer to Competitive Bids)**

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All equipment purchases must be specifically itemized in the budget proposal. If not included in the original budget proposal, expressed written approval from the NOHS is required prior to any purchase. Competitive bids (a minimum of three (3) bids) are required on any equipment purchase in excess of \$500.00.

Upon receipt of any equipment purchased with federal funds, the grant contractor must complete an "Equipment Inventory Log" and submit it to the NOHS. The "Equipment Inventory Log" is located on the NOHS website. The grant contractor shall appropriately maintain any equipment purchased under the grant contract. NOHS staff will provide a NOHS inventory tag to be placed on all equipment purchases.

#### **Equipment Purchase/Inventory Procedures - \$5,000.00 or More**

- Equipment purchases of \$5,000.00 or more must receive prior written approval from the NOHS.
- Upon receipt of the equipment the grant contractor must complete an "Equipment Inventory Log" and forwarded to the NOHS.
- For all equipment purchases over \$5,000.00, the serial number for the item shall be considered the inventory number.
- Annually, the NOHS will forward a physical inventory request form to each contractor requesting physical inventory be conducted of equipment purchases over \$5,000.00.
- No contractor shall dispose of any equipment without written approval from NOHS. Disposal of the equipment will be according to the applicable State and Federal regulations.

Equipment purchased with federal funds that has a market value of more than \$1,000.00 or has any useful life remaining and is not fully depreciated may not be disposed of in any manner by the grant contractor without the expressed written approval of the NOHS. Should a grant contractor desire to dispose of such equipment, the grant contractor will immediately notify the NOHS. Disposal of the property will be according to applicable state and federal regulations. All grant contract funded purchases must be requested, purchased, invoiced, and delivered prior to the end of the grant fiscal year, September 30.

#### **GRANT CONTRACT AWARD**

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Upon receipt of the Grant Contract Award, the Project Director, Authorized Official, and the Financial Officer must sign (in ink), date, and return the grant contract award to the NOHS. The signature of the NOHS Administrator and/or Governor's Representative for Highway Safety authorizes the Grant Contract Award. A copy of the approved Grant Contract Award will be returned to the grant contractor. Receipt of this signed copy provides formal approval of the grant contract. Upon receipt of the formally approved Grant Contract Award, the grant contractor may begin incurring costs according to the terms of the grant contract.

## **GRANT CONTRACT MONITORING**

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Desk Monitoring -- All grant contract activities and expenditures will be reviewed each month by the NOHS staff. Monthly monitoring occurs when the NOHS project manager reviews the contractor's monthly activity report and monthly reimbursement request.

On-Site Monitoring -- All grant contractors are subject to on-site monitoring visits by the NOHS staff. On-site monitoring visits will be conducted at least annually and may occur more frequently and at any time during the grant contract period. Calls, letters, and occasional meetings are generally not sufficient to adequately monitor a project, particularly those that are more complex. The project manager will need to go on-site annually to review project status, documents, contractor management, and financial systems.

## **INDIRECT COSTS**

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Indirect costs are those costs that have been incurred for common or joint purposes. These costs benefit more than one cost objective and cannot be readily identified with a particular final cost objective without effort disproportionate to the results achieved. After direct costs have been determined and assigned directly to Federal awards and other activities as appropriate, indirect costs are those costs remaining to be allocated to benefited cost objectives. A cost may not be allocated to a Federal award as an indirect cost if any other cost incurred for the same purpose, in like circumstances, has been assigned to a Federal award as a direct cost.

## **LOBBYING**

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Funding may not be used directly or indirectly to pay for any personal services, advertisement, telegram, e-mail service, telephone, letter, printed or written matter, or other devices intended to influence a member of Congress in acting upon legislation. Federal funds are also prohibited for use in "grassroots" lobbying campaigns that encourage third parties, members of special interest groups, or the general public to contact members of Congress in support of or in opposition to a legislative or appropriations matter. This applies to Congressional and State legislators.

## **LONG DISTANCE TELEPHONE CALLS**

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Grant contractors may be required to provide supporting documentation for long distance telephone calls being reimbursed by the NOHS. The supporting documentation will include a list of all long distance calls, the length of the long distance call and the nature of the long distance call. This information is to be submitted with the monthly reimbursement request.

## **MATCHING FUNDS**

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The NOHS may require the grant contractor provide a hard match dollar contribution to the project. As an example, if the grant contract requires a 30 percent hard match, the grant contractor must contribute 30 cents of every dollar expended on the project. Indirect/In-kind services are not considered hard match contributions.

## **MILEAGE**

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In-state travel expenses may include personal vehicle mileage. Mileage will be reimbursed at the rate allowed by the grant contractor, not to exceed the standard rate established by the Internal Revenue Service. All personal vehicles used for travel must be in compliance with all Nebraska motor vehicle laws.



## **MINORITY AND WOMEN BUSINESS ENTERPRISES (MBE & WBE)**

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The grant contractor shall make every effort to consult vendors representing minority and women's business enterprises before expending federal highway safety funds. A minority and women's business enterprise is defined as a small business, which is owned and controlled by socially and economically disadvantaged individuals. "Socially and economically disadvantaged individual" means a citizen of the United States or person lawfully residing in the United States or its possessions who is a minority or woman regardless of race or ethnicity or any other individual found disadvantaged by the Small Business Administration.

## **OVERTIME**

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Overtime compensation is not allowed unless expressly pre-approved in writing by the NOHS.

## **PERSONAL SERVICES/SUPPLANTING**

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Salaries of personnel paid for in a grant contract must be new **(additional)** positions. The grant contract cannot be used to supplement or replace salaries of existing personnel **(supplanting)**. Exceptions may be considered for grant contracts relating to specific overtime activity. If the grant contract transfers current personnel to the project, the grant contractor must hire and maintain **additional** personnel to fill the vacancy created by the transfer. Whenever the staffing level drops below the grant contract award level, the NOHS reserves the right to deny the personal services reimbursement. In summary, salaries paid under a grant contract should represent payment for personal services **over and above** the existing staffing level of the department, agency, or office.

All personnel funded under the grant contract must be identified by name and date of hire. Any changes in grant contract personnel, reassignments, or terminations must be reported in writing. Payment for personal services may only be reimbursed for work performed within the dates of hire. Work performed prior to the documented hire date or after the documented termination date under the grant contract cannot be reimbursed. Payment can only be reimbursed for personnel specifically identified in the approved budget proposal. For example, if the budget specified one (1) traffic officer at 100%, reimbursement of personnel expenses cannot be made for two officers, each working 20 hours of a 40-hour shift. Reimbursement can only be made for the one officer.

The NOHS reserves the right to adjust salary levels outlined in the grant contract application that it considers disproportionate for the task. Any fringe benefits, holidays, vacation, sick leave, or compensatory time must be consistent with the state or local unit of government for which the contract is written.

Grant contract funded personnel are to expend 100% of their time in the development, implementation, and evaluation of the activities specified in the approved grant contract unless otherwise expressly approved in writing by the NOHS. Timesheets must be maintained for all grant-funded personnel reflecting the dates and hours of work charged to the project. The Weekly Time Report sample is available on the NOHS website. If personnel are funded 100% through the grant contract, their activity must be 100% in support of activities agreed upon in the grant contract award. Payment for grant contract funded personnel performing tasks outside the grant contract will not be reimbursed. For example, grant contract funded traffic officers are provided to increase the level of traffic law enforcement in a jurisdiction. As such, they are prohibited from providing funeral escorts or parade duty. Special DUI prosecutors are provided solely for the purpose of increasing DUI and other dangerous driving case convictions and relieving the backlog of such cases. They are prohibited from utilizing federal highway safety funds for prosecuting or handling other cases such as burglary, aggravated assault, etc.

## **PRINTED MATERIALS**

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Materials printed as part of the grant contract shall indicate that the project is sponsored by the NOHS. Materials need to display the NOHS logo and/or words "Funded by the Nebraska Office of Highway Safety" or "Printed with State Highway Safety Funds." All public awareness/education materials developed as a part of a highway safety grant contract are to be submitted in draft form to the NOHS for written approval **prior** to production and/or distribution.

The grant contractor reserves a royalty-free, nonexclusive, and irrevocable license to reproduce, publish, or otherwise use and to authorize others to use for federal government purposes: 1) The copyright in any work developed under a grant, subgrant, or contract under a grant or subgrant; and 2) any rights of copyright to which a grantee, subgrantee, or a contractor purchases ownership with grant support.

These items may not be copyrighted without the expressed written permission of the NOHS. One copy of all materials printed as a part of the grant contract must be submitted along with the monthly reimbursement request.

## **PROGRAM INCOME**

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**Definition:** Program income means gross income received by the grant contractor directly generated by a grant-supported activity or earned only as a result of the grant contract agreement during the grant period.

**Reporting Requirement** -- If the funded grant contract **generates income**, the source of the income and the amount must be reported on each Grant Contract Claim for Reimbursement (CR) form submitted to the NOHS. Program income is defined as any income generated as a direct and/or indirect result of the project. Any program income not reported to the NOHS on the monthly CR may be cause for termination of the grant contract. (It is the responsibility of the grant contractor to maintain appropriate accounting records regarding program income.)

**Utilization** -- Program income may be used to support the project activities as follows:

1. Program income may be used to meet cost sharing or matching requirements of the grant contract agreement.
2. Program income may be placed in a special account and included in the cost assumption plan for project continuation as federal funding decreases. If the project is discontinued, any fund balance in the special account must be returned to the NOHS.

## **PUBLIC COMMUNICATIONS/PAID ADVERTISING**

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Costs to purchase program advertising space in the mass communication media is allowable but must be approved in advance by NOHS. This includes the purchase of radio time, television time, billboard rental, magazine or newspaper advertisements or any other paid advertising. Television public service announcements should contain closed-captioning of the verbal content.

## **RECORD RETENTION**

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The NOHS requires all grant contractors to complete and maintain detailed accounting records as they apply to the project. These records must be maintained for a period of three (3) years or until any audits are completed. All projects are subject to audit by the appropriate state and/or federal agencies.

## REIMBURSEMENT PROCEDURES

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All costs associated with the approved grant contract will be reimbursed monthly after the expenses have been incurred. The Grant Contract Claim for Reimbursement (CR) form is to be utilized for monthly reimbursement requests, (see Attachment C), and is available on the NOHS website. The following instructions are for submitting the CR:

- The contractor must submit a separate CR form monthly **by the 15<sup>th</sup> of the following month** of incurred expenses. On the form, indicate: a) Your agency as the grant contractor; b) grant contract number; c) grant contract title; and the month in which expenses were incurred.
- Indicate the expenditures incurred during the month claimed.
- Expenditures should be shown for previous months and total to date for the fiscal year.
- Monthly program income generated by the grant contract **must** be reported separately in addition to the program income balance (if applicable)
- The Project Director and Authorizing Official must sign and date the CR form. **Important:** The original signed claim must be submitted to NOHS.
- Reimbursement will not be considered if CR is not accompanied by any and all supporting documentation; such as but not limited to:
  - Weekly time reports, itemized personal services breakdown, invoices/statements, receipts, canceled checks, credit card statements, equipment inventory log, and/or competitive bids. Forms are available at: [www.roads.nebraska.gov/nohs/contract.html](http://www.roads.nebraska.gov/nohs/contract.html).
- Submit the original of the complete CR to the NOHS.
- The **cutoff** date for processing the CR is the **15<sup>th</sup> of each month**.
- A "Final Claim" for each grant contract must be submitted by the second Friday in November following the end of the previous federal fiscal year (September 30). The "Final Claim" box must be marked on the CR form.

Upon receipt of the CR, the project manager reviews all expenditures and supporting documentation to ensure accuracy, completeness, and that all reimbursement requests are eligible as authorized expenditures contained in the grant contract budget.

## REPORTS

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Monthly Report -- All grant contractors must submit a monthly activity report to the NOHS by the **15<sup>th</sup> of each month** unless otherwise expressly approved by the NOHS. The monthly report shall contain the same goals and objectives as in the Grant Contract Proposal. Each goal/objective/strategy must be addressed in the monthly activity report in the same format as the proposal. Claims (CR) for reimbursement may be held if the grant contract recipient is delinquent in the submission of reports.

Items in the monthly report may include copies of publications, training reports, and any statistical data generated. Monthly reports should also include the following:

1. Completed studies.
2. Equipment purchases must be identified.
3. Any issues that affect the project.
4. Third party performance (if applicable).
5. Consultants' reports.

Annual Report -- Annual reports are due from grant contractors to the NOHS for the fiscal year October 1 – September 30, no later than the **second Thursday in November**. The Annual Report must contain the following:

1. Each objective outlined in the Grant Contract Proposal must be addressed.

2. All accomplishments and activities utilized to meet the goals/objectives outlined in the Grant Contract Proposal.
3. The project's measurable impact on traffic safety.
4. The annual report should be no longer than two pages in length and utilize the "Annual Report Template" format.

\*The Annual Report Template (Attachment B) format is available on the NOHS website at:  
<http://www.roads.nebraska.gov/nohs/contract.html>

#### **SAFETY BELT POLICY**

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All grant contractors and/or their agents must have in effect an approved safety belt use policy for all employees and staff. The policy must be actively enforced, and an official copy of this policy must be provided with the grant contract proposal.

#### **SERVICE CONTRACTS/CONTRACTUAL SERVICES**

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Subcontracts entered into by the grant contractor shall be awarded according to the provision of all applicable federal and state laws, rules, and regulations. **Prior expressed written approval is necessary from the NOHS before the initial grant contractor may enter into any secondary contract (mini-grant contract/sub-contract) unless specifically described in the original grant contract application.** A detailed description must be provided in the original grant application on the activities of the contractual service(s).

#### **TERMINATION OF GRANT CONTRACT**

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If, through any cause, the grant contractor shall fail to fulfill in a timely and proper manner its obligation under the awarded grant contract or if the grant contractor shall violate any of the covenants, agreements, or stipulations of the grant contract, the NOHS shall thereupon have the right to terminate the grant contract and withhold further reimbursement/payment of any kind by giving written notice to the grant contractor of such termination and specifying the effective date thereof, at least thirty (30) days before such date. The NOHS shall be the sole arbitrator of whether the grant contractor or its subcontractor is performing its work in a proper manner with reference to the quality of work performed by the grant contractor or its subcontractor under the provisions of this contract. The grant contractor and the NOHS further agree that either party may terminate this contract by giving written notice of such termination and specifying the effective date thereof, at least thirty (30) days before such date.

#### **TRAINING/CONFERENCES**

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The costs associated with attending training/conferences may be allowable **when included in the grant contract budget proposal.** The training/conference subject matter must compliment the activity of the grant contract. Allowable costs include: transportation, lodging, and registration fee. Reimbursement for a rental vehicle is rare and must be expressly approved in advance by NOHS in writing.

Reimbursement for out-of-state travel expenses by contractors requires **prior written approval** by the NOHS. To request approval for out-of-state travel, a contractor must complete the following:

1. Ensure the grant contract proposal application includes a provision for the travel and there are sufficient funds to cover the cost of the travel.
2. If not included in the original grant contract budget, a request for out-of-state travel must be submitted to the NOHS for expressed approval **at least 30 days prior to travel.** The request must include the following:

- The participant's name.
- Date, description, and location of the training/conference and a copy of the agenda.
- An itemized breakdown of all expenses associated with the training/conference.
- A statement why the training/conference is needed and how the project will benefit.
- If the training has pass/fail criteria, the participant must successfully complete the course and submit a copy of the course completion certificate to be eligible for reimbursement.
- A written evaluation of the training/conference must be submitted with the monthly report.

## **TRAVEL**

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Out-of-State Travel - All out-of-state travel **must be approved** as defined under "Training/Conferences."

In-State Travel - In-state travel may include lodging, meals, and mileage (see mileage). If these costs are not included in the original grant contract budget, a request for in-state travel must be submitted to the NOHS for approval **at least 30 days prior to travel**.

## GRANT CONTRACT PROPOSAL APPLICATION GUIDE

The Nebraska Office of Highway Safety (NOHS) is responsible for the planning, administration, and evaluation of the state's federal highway safety funding and other special traffic safety funding that is authorized by Congress. Federal funding is provided to assist states and their counties and communities initiate projects which direct activity towards resolving identified and prioritized traffic safety problems. **Only political subdivisions and 501c3 non-profit organizations are eligible for funding assistance.** Through analysis of crash data, the following 21 counties and their communities have been identified as "Priority Counties" for fiscal year 2012.

Adams	Dodge	Lancaster	Sarpy
Buffalo	Douglas	Lincoln	Saunders
Cass	Gage	Madison	Scotts Bluff
Dakota	Hall	Otoe	Seward
Dawson	Holt	Platte	Washington
			York

The following program guidelines focus federal funding assistance in those areas that have a maximum probability of reducing death and injury on roadways. Nebraska's emphasis areas to be addressed with 402 federal traffic safety funds include: **alcohol, speed, occupant protection, and youth.** Project activity should be directed toward one or more of the identified emphasis areas. Activity must focus on the reduction of fatal and serious injury crashes. (See Attachment A)

Grant contract expenditures must meet the following criteria:

1. Increase rather than replace existing activities.
2. Represent an additional cost.
3. Be necessary, reasonable and supported in the budget narrative.
4. Be eligible expenses under local, state, and federal laws/regulations.

The following items are not eligible for grant contract funding (unallowable costs):

1. Highway maintenance, construction, or design.
2. Office furniture and fixtures.
3. Land.
4. Regulatory traffic signs.
5. Alcoholic beverages.
6. Entertainment.
7. Lobbying costs.

Applicants are encouraged to "leverage" funds requested from the NOHS with staff, financial, or other resources which they are able to contribute to the proposed project. Funding assistance is intended to be used as "start up" or "seed money" to implement a project. Project activity that is successful is expected to continue after the NOHS funding assistance ends. Projects may be considered for funding assistance for up to three consecutive years with annual grant contracts between the NOHS and the funded project. In the first year, the NOHS typically provides funding assistance to projects at 90% or 100%. If a second year is applied for, it is considered for no more than 75% of the first year project cost. In the event a third year is applied for, no more than 50% of the first year costs will be considered. The applicant must provide the remaining funding.

**A cost assumption plan is required as part of the initial application.** The cost assumption plan is a detailed description of how the applicant plans to continue the project activity after the NOHS funding assistance ends. Continuation of project activity may be accomplished with other funding and/or additional agencies' efforts.

These instructions provide potential applicants with the appropriate format needed to prepare a project proposal. Listed below are the individual components necessary: the entire request should be no more than four (4) pages in length. A description of each component is provided.

- A. PROJECT TITLE AND SUMMARY
- B. ORGANIZATIONAL BACKGROUND
- C. PROBLEM IDENTIFICATION
- D. GOAL
- E. OBJECTIVES
- F. STRATEGIES
- G. EVALUATION
- H. BUDGET PROPOSAL/BUDGET NARRATIVE
- I. COST ASSUMPTION

The NOHS Staff will review every application submitted by the due date in accordance with the selection criteria. Each applicant will be notified of project approval or denial no later than June 30. Grant Contracts will be funded contingent upon receipt of funds from federal sources and approval based on project merit. The "Grant Contract Period" should not exceed 1-year as grants must be applied for annually. Approved projects will begin project activity October 1<sup>st</sup>.

**A. PROJECT TITLE AND SUMMARY**

Select a name for the proposed project. The summary should provide a **clear and concise** overview of the request. It should appear at the beginning of the proposal, although it will be the last item completed during preparation. The summary should include the following:

- 1. Identification of the applicant/organization.
- 2. The reason for the project, the issue, problem, or need to be met.
- 3. The goal of the project.
- 4. The objectives to be achieved.
- 5. The kinds of activities to be conducted to accomplish the objectives.
- 6. The total cost of the project, funds already committed, and the amount requested in the proposal.

**B. ORGANIZATIONAL BACKGROUND**

This section is one or two short paragraphs of background information and history to provide credibility about the applicant's organization.

**C. PROBLEM IDENTIFICATION**

Problem identification is a critical part of the proposed project. It represents the justification for the proposal and focuses on the conditions the applicant/organization wishes to change. Problem identification looks at a particular situation and identifies causes for the problem.

- 1. Include three (3) years of baseline information. Data may include statistics on crashes, injuries, fatalities, DWI and moving violation contacts, specific time periods, roadway types, driver age, or other crash-related statistics that support the problem. Crash statistics summarized by county are available on the NOHS website.
- 2. Identify the cause of the problem. Be specific.
- 3. Identify the targeted population (i.e., drivers ages 16-20).

4. Select and describe where positive performance outcomes are expected.

#### **D. GOAL**

The anticipated long-term results of the project must impact one or more of the following emphasis areas:

Alcohol-Related Fatal, A and B Injury Crashes  
Occupant Restraint Use  
Speed-Related Fatal, A and B Injury Crashes  
Youth-Involved (Age 16 to 20) Fatal, A and B Injury Crashes  
\*Injury type: A – disabling; B – visible but not disabling

#### **NOHS Statewide FY2012 Goals for Emphasis Areas:**

Reduced Alcohol-Related Fatal, A and B Injury Crashes by 4% (588) in CY2012.  
Increase the observed Occupant Restraint Usage Rate to 87.6% in CY2012.  
Reduce Speed-Related Fatal, A and B Injury Crashes by 4% (417) in CY2012.  
Reduce Youth-Involved Fatal, A and B Injury Crashes by 4% (1,600) in CY2012.

#### **E. OBJECTIVES**

In order for any project to be successful, it must contain measurable end results. The most useful objectives tell **who** is going to be doing **what**, **when**, **how much**, and **how** it will be measured.

1. Describe objective(s) to address the problem.
2. Use actual numbers (baseline data) to support percentages.
3. Do not describe strategies.

**\*See Attachment A - Sample Project**

#### **F. STRATEGIES**

The next step is to identify the strategies (activities) used to achieve the objectives. The strategies should flow naturally from the problems and implement the objectives.

1. Clearly describe the activities.
2. List activities in sequence.
3. Present reasonable activities that can be accomplished within the time allotted for the project and include completion dates.

**\*See Attachment A - Sample Project**

#### **G. EVALUATION**

Comprehensive evaluation involves an analysis of whether the project has achieved its stated objectives. It also involves an analysis of the role project activities have played in the accomplishment of those objectives.

1. Administratively evaluate measured/planned activities.
2. Each objective must be evaluated to determine success.
3. Compare pre- and post project activities.

**\*See Attachment A - Sample Project**

#### **H. BUDGET PROPOSAL/BUDGET NARRATIVE**

The proposed budget for the project is an estimate, but should be as specific as possible in identifying cost items. Examples of estimated costs for a project proposal include: costs of materials acquired and consumed specifically for the purpose of the contract, telephone added as part of the project, printing, postage, office supplies, costs of office space, and special equipment added as part of the project. Promotional items and activities must directly relate to the project objectives offering incentives or encouraging the target audience to adopt specific practices. Avoid using the terms "miscellaneous" or "etc". Include a "budget narrative" which includes explanation of each item listed in the budget proposal.



1. Estimate the costs of the project as accurately as possible.
2. Include reasonable, necessary, and appropriate costs.
3. Justify the costs to anticipated results.
4. Indirect/In-kind costs are not allowed and should not be listed.
5. Provide a budget narrative for each cost listed including out-of-state travel.

#### **I. COST ASSUMPTION**

This is an important item on the application because federal highway safety funds are intended to begin worthwhile activities, which will be continued after federal funding assistance is terminated. The applicant/organization must provide a long-term cost assumption plan **detailing** how project activity will be continued. Continuation of project activity may be accomplished with other funding and/or additional agencies' efforts.

1. Describe the agency's resources to match funding.
2. Provide a matching plan for requested federal funds.
3. Describe how the project will reach self-sufficiency.

#### **OTHER ITEMS TO BE SUBMITTED WITH GRANT CONTACT APPLICATION**

The attached "Grant Contract Proposal Cover" must be completed including the required signatures and submitted with the application along with copies of the agency's current Drug-Free Workplace Policy and Seat Belt Use Policy. The "Grant Contract Proposal Cover" template is available on the NOHS website at [www.roads.nebraska.gov/nohs/contract.html](http://www.roads.nebraska.gov/nohs/contract.html)

#### **DEADLINE**

Proposals must be received by the NOHS **on or before June 30** for consideration in the project year 2012 beginning October 1<sup>st</sup>, 2011.

#### **FOR FURTHER INFORMATION OR ASSISTANCE PLEASE CONTACT:**

Nebraska Office of Highway Safety  
P.O. Box 94612  
Lincoln, Nebraska 68509-4612

Physical Location:  
5001 South 14<sup>th</sup> Street, Room 158

Telephone: 402/471-2515  
FAX: 402/471-3865  
E-mail: [linda.kearns@nebraska.gov](mailto:linda.kearns@nebraska.gov)



## Grant Contract Proposal Cover

<b>Applicant/Organization:</b>	_____
<b>Project Director:</b>	_____
<b>Address:</b>	_____
<b>City, State, Zip:</b>	_____
<b>Telephone (include Area Code):</b>	_____
<b>Fax:</b>	_____
<b>E-mail:</b>	_____
<b>Federal Identification No. (FID):</b>	_____

<b>Project Title:</b>	_____
<b>Grant Contract Period:</b>	_____

_____ <i>Signature of Authorized Official</i>	_____ <i>Typed Name and Title</i>	_____ <i>Date</i>
_____ <i>Signature of Financial Officer</i>	_____ <i>Typed Name and Title</i>	_____ <i>Date</i>

## **Attachment A – Sample Project**

### **CENTER COUNTY ALCOHOL REDUCTION PROJECT**

#### **SUMMARY**

The Center County Health Department is dedicated to the reduction of trauma related death and injury in Center County. During 2010 the alcohol-related fatal, A and B injury crash rate was \_\_\_\_ which is above the State rate of \_\_\_\_\_. The Center County Health Department officials support the formation of an impaired driving program to assist in reducing alcohol-related fatal, A and B injury crashes. In order to implement the impaired driving program, a coordinator for the project is needed. Utilizing the coordinator, program objectives would result in a 5% reduction, from \_\_\_\_ to \_\_\_\_, in the alcohol-related fatal, A and B injury crashes. Activities will include establishing a designated driver program within the County, working with the Safe Communities Coalition, working with on and off sale licensed liquor establishments, special permit events and high schools within the county. The total cost of the project would be \$38,300, \$11,000 to be furnished by Center County, \$800 from the Center Chamber of Commerce, and \$26,500 from the Nebraska Office of Highway Safety.

#### **ORGANIZATIONAL BACKGROUND**

The Center County Health Department consists of 18 employees with contacts from the public, private, and nonprofit sectors dedicated to the reduction of unintentional injuries. Since its inception in 1952, the Center County Health Department has continuously strengthened its networking system. The Center County Health Department currently works with the school system, local law enforcement agencies, and businesses within the county.

#### **PROBLEM IDENTIFICATION**

In Center County, the alcohol-related fatal, A and B injury crash rate exceeds the State rate. Alcohol-related fatal, A and B injury crashes averaged \_\_\_\_ in 2008-2010. During the same previous three-year period, \_\_\_\_\_ citations have been written by local law enforcement for impaired driving and there have been \_\_\_\_\_ convictions for impaired driving. The residents within Center County will benefit from an intense countywide educational effort focused on impaired driving. Local law enforcement, the prosecuting attorney's office, and licensed liquor establishments have agreed to participate in the County's Safe Communities Coalition to combat this problem. In order to impact this problem within the county, the number of impaired drivers utilizing the county's roadways must be reduced.

#### **GOAL**

The goal of this project is to reduce the number of alcohol-related fatal, A and B injury crashes during the funding period by 5%, from \_\_\_\_ to \_\_\_\_.

#### **OBJECTIVES**

Bring together specific individuals within the county to participate in a Safe Communities Coalition. This group will assist in educational efforts and activities addressing the county's impaired driving problem. Law enforcement will be a critical component by actively enforcing the county's impaired driving laws. The prosecuting attorney's office will also be an essential collaborator in prosecuting impaired drivers.

1. Increase public knowledge of the impaired driving problem by \_\_\_\_%.
2. Increase alcohol-related arrests by \_\_\_\_\_%, from \_\_\_\_ to \_\_\_\_.
3. Increase the conviction rate for alcohol-related offenses by \_\_\_\_\_%, from \_\_\_\_ to \_\_\_\_.

4. Establish a designated driver program within the county with \_\_\_\_\_ participating businesses.
5. Reach 75% or \_\_\_\_\_ of the county's youth, ages 15 - 19, with an educational impaired driving message.

### **STRATEGIES**

1. Select and hire a coordinator.  
Completion Date: October 15, 2011
2. Solicit interest within the community (i.e. organizations, county and city officials, law enforcement, schools, etc.) for inclusion in the Safe Communities Coalition.  
Completion Date: October 31, 2011
3. Schedule and hold the initial meeting of the Safe Communities Coalition to address the issue of impaired driving.  
Completion Date: November 15, 2011
4. Conduct a public opinion survey regarding knowledge and attitude of the impaired driving problem.  
Completion Date: January 1, 2012
5. Solicit the county's law enforcement agencies for participation in selective alcohol overtime enforcement activities. The funding for the selective alcohol overtime may be obtained through the Nebraska Office of Highway Safety by entering into a Mini-Grant Contract. Overtime enforcement dates will be selected for the time frame from December 1, 2011 through September 30, 2012.  
Completion Date: September 30, 2011
6. Conduct # meeting/training sessions with the county's prosecutors to present the concept of aggressively prosecuting all alcohol-related traffic offenses.  
Completion Date: December 15, 2011
7. Obtain listings through the State's liquor commission of all licensed on and off sale liquor establishments.  
Completion Date: October 15, 2011
8. Contract with an advertising company to create the materials for a designated driver campaign.  
Completion Date: October 31, 2011
9. Utilizing the listing of licensed drinking establishments; contact each business to promote their participation in the designated driver campaign.  
Completion Date: December 1, 2011
10. Contact the Nebraska Office of Highway Safety and/or any other resources, to obtain impaired driving related materials targeted toward youth.  
Completion Date: November 15, 2011
11. Schedule # presentations throughout the grant contract period with all of the county's schools grades 8 through 12.  
Completion Date: December 31, 2011
12. Coordinate monthly meetings for the Safe Communities Coalition.  
Completion Date: September 30, 2012

13. Conduct a follow-up public opinion survey.  
Completion Date: August 31, 2012
14. Ongoing contact with law enforcement, prosecutors and schools will continue throughout the project.  
Completion Date: September 30, 2012

### **EVALUATION**

1. An administrative evaluation will be completed at the conclusion of the project period to measure actual activities, tasks, and expenditures against those planned.
2. Crash data in the 12-month project period will be compared to crash data in the previous 12 month period to determine if the overall goal to decrease alcohol-related fatal, A and B injury crashes by 5%, from \_\_\_\_ to \_\_\_\_ was achieved.
3. Compare the two county wide public knowledge and attitude surveys to determine if public knowledge increased by \_\_\_\_%.
4. Compile and compare arrest and conviction data to determine if increases occurred.
5. Determine if # businesses participated in the designated driver program.
6. Determine if 75% of the county's youth were reached through presentations.

### **BUDGET PROPOSAL**

	<b>Federal Funds</b>	<b>Grant Contractor Funds</b>
Salary/Coordinator	\$21,500.00	\$7,500.00
Travel	\$500.00	\$0.00
Public Opinion Surveys	\$1,000.00	\$0.00
Designated Driving Campaign	\$2,500.00	\$0.00
Rent, Utilities	\$0.00	\$4,300.00
Training Materials	\$1,000.00	\$0.00
TOTAL	\$26,500.00	\$11,800.00

### **BUDGET NARRATIVE**

**Salary/Coordinator:** Full time position to work with law enforcement, county prosecutors, State Liquor Commission, licensed drinking establishments, schools, and to solicit interest and participation in a Safe Communities Coalition.

**Travel:** Mileage to be reimbursed for travel within the county to promote project goals and activities.  
Out-of-State Travel: Costs that include transportation, lodging, and registration fees to attend training/conferences.

**Public Opinion Surveys:** A 20-question public opinion survey of 300 people will be conducted regarding knowledge and attitude of the impaired driving problem in Center County.

**Designated Driver Campaign:** Contract with an advertising company to design and create materials for a designated driver campaign.

**Rent, Utilities:** Rent and utilities will be provided by the Center County Health Department as a match to federal funding.

**Training Materials:** To produce training materials for two (2) training sessions with the county prosecutors and law enforcement to present the concept of aggressively prosecuting all alcohol-related offenses.

### **COST ASSUMPTION**

The Center County Health Department will continue the designated driver program after federal funding assistance is terminated. Prior to the end of the project, a copy of the agency's budget request containing funding of the position and activity will be provided to NOHS. The long-term costs to continue the project will be for personal services for the coordinator. The Center County Health Department will request funding assistance from the county attorney office's driver diversion (STOP) program in the final year of the funded project. Businesses and organizations participating in the Safe Communities Coalition will also be requested to contribute financially to the future of this community project.

## Attachment B - Annual Report Template Format

(Font Type Tahoma 10pt)(Email to NOHS in Word format)

<b>Annual Report</b>	<b>Nebraska</b>
----------------------	-----------------

<b>Name of Project Agency</b>	<b>00-00</b>
-----------------------------------	--------------

Program Area: Project Characteristics: Type of Jurisdiction: Jurisdiction Size: Target Population:
----------------------------------------------------------------------------------------------------------------

**Problem Identification:**

**Goal and Objective:**

**Strategies and Activities:**

- 
- 
- 
- 
- 

**Results:**

- 
- 
- 

<b>Funding:</b>	Section 402:	\$ 0.00
	Other	\$ 0.00

**Contact:** Name, Agency, Address, Town, State, Zip Code  
Telephone: 402/ Fax: 402/ E-mail:

## Attachment C - Grant Contract Claim for Reimbursement Template

# Grant Contract Claim for Reimbursement



Nebraska Office of Highway Safety - NOHS  
P.O. Box 94612, Lincoln, NE 68509-4612  
Telephone: (402) 471-2515 FAX: (402) 471-3865  
Website: www.roads.ne.gov/nohs/

Contractor:	Telephone:	Contract #:
Contract Title:	Month of Expenditures:	Final Claim <input type="checkbox"/>

### NOHS USE ONLY

	Federal Share
<b>Total Expenditures</b>	
<b>Program Income</b>	
<b>Net Amounts</b>	

### PROJECT FINANCIAL SUMMARY

Current Month	Previous Months	Total to Date

**NOTE: Supporting documentation for all expenditures above must be attached.**

### CERTIFICATION:

I hereby certify the foregoing document is consistent with the terms of the grant contract and is a true and accurate accounting of the expenditures.

\_\_\_\_\_  
Signature of Project Director

\_\_\_\_\_  
Signature of Authorized Official

\_\_\_\_\_  
Type/Print Name and Title

\_\_\_\_\_  
Type/Print Name and Title

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date

### NOHS USE ONLY

Total Reimbursement	
Project Manager Review Initial/Date	
Supervisor Review Initial/Date	
Administrator Review Initials/Date	
Local %	
Accountant Date Paid/Initial	
Warrant #	

NDOR DOC#	
AB#	
TRANS	OE
ACTIVITY	ACCOUNT
NIGP	DATE
APPROVED (PRINT NAME) Fred E Zwonechek	
APPROVED SIGNATURE	
NOHS Project	Amount:

Distribution: Original to NOHS  
Make Copy for Your File

Rev. 4/2011